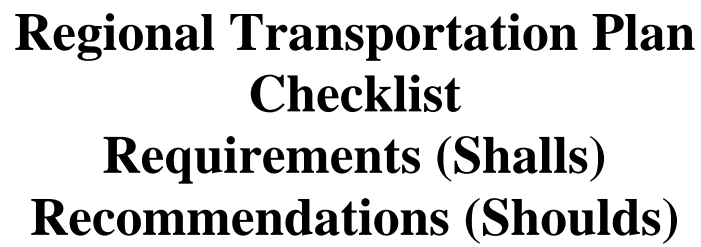




RTP APPENDIX A



Regional Transportation Plan Checklist Requirements (Shalls) Recommendations (Shoulds)

Regional Transportation Planning Guidelines Checklist

The Regional Transportation Plan (RTP) Guidelines are developed to provide guidance to all 43 Regional Transportation Planning Agencies (RTPAs). However, there is a wide range of geographic sizes and populations of these agencies. (The following population data is from the Department of Finance, January 1999) For example, population figures ranges from 1,190 (Alpine County) to 16,545,100 (Southern California Association of Governments (SCAG)). Geographic sizes ranges from 592.6 square miles (Amador County) to 38,140.7 square miles (SCAG).

The Metropolitan Transportation Commission (MTC), a nine county Metropolitan Planning Organization (MPO), covers 6,922.9 square miles and has a population of 6,784,700. Inyo County Local Transportation Commission, a small non-urban RTPA has a land area of 10,192 square miles with a population of 18,250. The Amador County Transportation Commission, the smallest RTPA with a land area of 593 square miles, has a population of 34,050.

In addition to size and population differences, air quality issues affect the transportation planning process. For example, most large areas are subject to federal conformity requirements due to present or past violations of air quality standards. Those with serious and worse designations are subject to additional requirements with respect to plan specificity and analytical requirements.

Generally, the RTPs for the smaller rural regions reflect a far less complex transportation system and therefore are less complex than the major metropolitan regions. Whatever the area size, population and air quality issues, each region determines the complexity of its transportation planning requirements by the development of its RTP.

These Guidelines are developed to address all aspects of developing a Regional Transportation Plan. Each RTPA has the responsibility of choosing those planning components that facilitate the development of a plan that best meets the needs of their specific region and supports project justification for inclusion in the Regional Transportation Improvement Program (RTIP).

To establish a minimum standard for developing the Regional Transportation Plan, a checklist of transportation planning requirements has been developed. Appendix A includes this Checklist and also includes a summary of the statutory requirements and recommendations in the guidelines that have been established by State, federal legislation and the California Transportation Commission.

Government Code Section 14032(a) authorizes the CTC to request an evaluation of all Regional Transportation Plans statewide to be conducted by Caltrans. This evaluation should include an analysis of the areas listed in Appendix D.

To assist Caltrans in its evaluation of the Regional Transportation Plans, the Checklist should be completely filled out and submitted with the adopted RTP.

Planning Requirements

Regional Transportation Plan Checklist

A. Regional Transportation Plan Components

Yes

No

1. Provides a coordinated and balanced transportation system.
2. Is action oriented.
3. Contains a short-term (10-year) time horizon
4. Contains a long-term (20-year) time horizon
5. Includes a Policy Element.
6. Includes an Action Element.
7. Includes a Financial Element.
8. The RTP of the MPO considers strategies to meet the seven planning factors specified in Title 23, 134(f) of the U.S. Code.
9. The RTP conforms to the State Implementation Plan (SIP).
10. The RTP of the MPO is consistent with the Civil Rights Act as identified in Title 23, CFR Sec. 450.316(b)(2).
11. The RTP of the MPO identifies actions necessary to meet the ADA as identified in Title 23, CFR Sec. 450.316(b)(3).
12. The RTP of the MPO considers, analyzes and reflects the social and environmental effects including housing, employment, community development, land use, central city development goals, etc.

Comments / Explanations:

B. Public Involvement

Yes

No

1. The RTP of the MPO includes a public involvement program that meets the requirements of Title 23, CFR Sec. 450.316(b)(1).
2. The RTP for a nonattainment area is based on consultation with air and environmental agencies and the public during all stages of development.

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B. Public Involvement (continued)

Yes

No

3. Where there are Native American Tribal Governments within the RTP boundaries, the tribal concerns have been addressed and the Plan was developed in cooperation with the tribal Government(s) and the Secretary of the Interior (Bureau of Indian Affairs) (Title 23, CFR Sec. 134, 135(e)).
4. The RTP includes opportunities for citizen involvement in the early stages of plan development.
5. The RTP for a nonattainment area identifies consultation with air agencies on the development of the plan.
6. The RTP for a nonattainment area reflects coordination with local and regional air quality planning authorities.

Comments / Explanations:

C. Policy Element

1. Describes the transportation issues in the region.
2. Identifies regional needs.
3. Maintains internal consistency with the financial element fund estimates.
4. Has objectives linked to the 10-year time frame.
5. Has objectives linked to the 20-year time frame.

Comments / Explanations:

D. Action Element

1. Addresses needs.
2. Is consistent with the adopted regional transportation goals.
3. Is consistent with the regional transportation policies.
4. Is consistent with the financial constraints.
5. Conforms to the revenues identified in the Financial Element.

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D. Action Element (continued)

Yes

No

6. Conforms to the costs in the Financial Element.
7. Includes a discussion of Highways. .
8. Includes a discussion of Mass Transportation.
9. Includes a discussion of Aviation Transportation.
10. Includes a discussion of pedestrian needs.
11. Includes a discussion of non motorized transportation.
12. Includes a discussion of Rail Transportation.
13. Includes a discussion of Maritime Transportation.
14. Includes a discussion of Goods Movement.

Comments / Explanations:

E. Consistency Requirement

1. The first four years identified in the Financial Element is consistent with the four-year STIP fund estimates adopted by the CTC.
2. The Goal Statements are consistent with the Financial Element.
3. The Policy Statements are consistent with the Financial Element.
4. The Objective Statements are consistent with the Financial Element.
5. The projects included in the ITIP are consistent with the RTP.
6. The projects included in the RTIP are consistent with the RTP.

Comments / Explanations:

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F. Performance Measurement

Yes

No

1. Includes objective criteria for measuring system outcomes.

Comments / Explanations:

G. Environmental Considerations

1. Contains the appropriate environmental documentation.
2. Discusses the way the plan will conform to the State Implementation Plan including TCM implementation.
3. RTPs for nonattainment areas document coordination with the ARB to ensure conformity with the SIP.

Comments / Explanations:

H. Supporting Data

1. The RTP includes or identifies supporting documents.

Comments / Explanations:

“SHALLS”

(Required by State or Federal Legislation/Regulations)

A. Regional Transportation Plan Components

1. Each transportation planning agency shall (Government Code 65080) prepare and adopt a Regional Transportation Plan directed at achieving a coordinated and balanced regional transportation system.
2. The RTP shall (Government Code 65080) be action oriented and pragmatic, considering both the short-term and long-term time periods.
3. The RTP shall (Government Code 65080) include the following components:
 - Policy Element
 - Action Element
 - Financial Element
4. The RTP shall (Government Code 65080 (c)) demonstrate consistency with federal and other planning and programming requirements.
5. The RTP shall (Government Code 65080.5) consider strategies that meet the planning factors specified in Title 23, CFR Sec. 134(f).
6. The RTP shall (Title 42, Sec. 7506 (c) (2), (Title 40, CFR Sec.93.100-128), (Title 23, CFR Sec. 450.322(d)) conform to the State Implementation Plan (SIP) in federal nonattainment and maintenance areas, which includes meeting emissions limitations, implementing TCMs and meeting analytical and procedural requirements.
7. In serious and worse nonattainment areas, land use and growth assumptions shall (Title 40, CFR Sec. 93.122(b)) be documented and compared with historical trends and must show consistency between transportation alternatives and land use projections for different options.
8. The RTP of the MPO shall (Title 23, CFR Sec. 450.316(b)(2)) be consistent with the Civil Rights Act.
9. The RTP of the MPO shall (Title 23, CFR Sec. 450.316(b)(3)) identify actions necessary to meet the American Disabilities Act (ADA).
10. The RTP of the MPO shall (Title 23, CFR Sec. 450.316(a)(4) and (13)) analyze and reflect the social and environmental effects of transportation decisions including housing, employment, community development, land use, central city development goals, etc.

B. Updating the Regional Transportation Plan

If the RTP is updated or amended, a new conformity determination, where applicable, shall (Title 40, CFR Sec. 93.102) and (Title 23, CFR Sec. 450.322 (d)) be done at each update.

C. Public Involvement / Coordination / Consultation

1. Each RTP shall (Title 23, CFR Sec. 134 (g) (4)) , (Title 23, CFR Sec. 135 (e)) and (Title 23, CFR Sec. 450.316(b)(1) have a public involvement program.
2. The RTP shall (Title 23, CFR Sec. 450.316(a)(13)) reflect consultation with resource and permit agencies to ensure early coordination with environmental protection.
3. The RTP shall (Title 23, USC Sec. 450.316(b)(8)) include opportunities for citizen involvement in early stages of plan development.
4. The RTP for a nonattainment or maintenance area shall (Title 40, CFR Sec. 93.105(b)) reflect consultation with air agencies concerning the development of the plan.
5. The RTP for a nonattainment area or maintenance area shall (Title 23, Sec 134 (g)(3)) be developed in coordination with local and regional air quality planning authorities.

D. Policy Element

1. Each RTP shall (Government Code 65080 (b)) include a Policy Element that: (1) describes the transportation issues in the region, (2) identifies and quantifies regional needs expressed within both a short and long-range framework; and (3) maintains internal consistency with the Financial Element fund estimates.
2. Legislation requires that the objectives shall (Government Code 65080(b)(1)) be linked to a time-specific period for implementation, namely short-range and long-range time frame.

E. Action Element – Analysis

The Action Element shall (Title 23, USC Sec. 134(f)) provide for consideration of projects and strategies that protect and enhance the environment.

F. Action Element - Conclusion

1. The Action Element shall (Government Code 65080(a)) address identified issues and needs, be consistent with adopted regional transportation goals and policies, conform to state and federal mandates (e.g. TEA 21 planning factors), and be consistent with the financial constraints identified in the Financial Element.
2. The Action Element alternatives shall (Title 23, USC Sec. 134(f)) shall consider the overall social, economic, energy, and environmental effects of transportation decisions.

F. Action Element – Conclusion (continued)

3. The Action Element shall (Government Code 65080 (b) (1)) conform to projected revenues and costs in the Financial Element.
4. Each RTPA shall (Government Code 65080(a)) include discussion of areas listed under “Transportation Strategies” as appropriate to the region.
5. Bicycle facilities and pedestrian walkways shall (Title 23, Sec.135 (a) and Title 23 CFR Sec. 450.322 (b)(3)) be identified in conjunction with all new construction and reconstruction of transportation facilities.
6. Transportation plans and projects shall (Title 23, Sec. 135(c)(3)) consider safety and contiguous routes for bicyclists and pedestrians.

G. Consistency Requirement

1. The first four years of the Financial Element shall (Government Code 14525 – as Per SB 45) be consistent with the STIP Fund Estimate adopted by the CTC.
2. The Goal, Policy and Objective statements shall (Government Code 65080(b)(1)) be consistent with the Financial Element.
3. Projects included in the ITIP and RTIP shall (Government Code 65080) be consistent with the RTP.

H. Environmental Considerations

1. The adoption, revisions or amendment of an RTP shall comply with CEQA (Public Resource Code 21000)
2. The CEQA document shall (Public Resource Code 21000) address specific issues.
3. The RTP shall (Title 23, CFR Sec. 450.322(n)(3)) discuss the way in which the plan will conform to the State Implementation Plan including Transportation Control Measures implementation.
4. All RTPAs in nonattainment or maintenance areas shall (Title 23, CFR Sec.322 (d)) coordinate their RTP development with Air Resources Board to insure conformity with the SIP.
5. In all nonattainment and maintenance areas the RTP shall (Title 40, CFR Sec. 93.106) described the system in enough detail to allow a conformity determination to be made.

H. Environmental Considerations (continued)

6. Title 40, CFR Sec. 93.106 requires that in metropolitan areas the plan describes the proposed transportation system in the last year of the plan, any attainment years, have no more than 10 years between years for which the system is described, and describe the system no more than 10 years from the base year used to validate the model. Title 40, CFR Sec. 93.106 specifies the level of detail needed. The plan shall also document planning factors for those years.

I. Supporting Data

Supporting and additional information or special studies not included in the plans shall (Government code 14032) be made available to the California Transportation Commission and Caltrans upon request.

“SHOULD”

(Recommended by the California Transportation Commission)

A. Regional Transportation Plan Components

1. The RTP should include the following:
 - Executive Summary – The RTP should provide a regional perspective, and identify the challenges and transportation objectives to be achieved.
 - Needs Assessment – Part of the assessment should be transportation performance objectives and anticipated outcomes.
 - Reference to environmental and air quality documentation.
2. The RTP should be internally consistent.
3. The Policy, Action and Financial Elements should reflect and support all plan project recommendations.
4. All projects should result from the Policy, Action, and Financial Elements.
5. The RTP should acknowledge and reflect external consistency with other adopted plans and programs that impact the regional transportation system.
6. The RTP should describe the planning assumptions and methodology used to analyze and prioritize transportation improvements.

B. Regional Transportation Planning Process

1. In preparing an RTP, the RTPA should convey to all stakeholders the complex nature of the Regional Transportation Planning Process.
2. The plan should demonstrate consistency with other plans and programs of regional significance.

C. Public Involvement

1. The RTP should: document the public involvement program, articulate the efforts made to maintain it, identify participating groups, and document efforts to recruit and facilitate a broad range of community representation.
2. RTPAs should consider the use of electronic transmission (such as the Internet, e-mail, and dedicated web-sites) and other methods to economically and efficiently communicate planning schedules, information, and products to all interested parties.

C. Public Involvement (continued)

3. The public involvement program should have a reasonable opportunity for: private and public operators of transit and freight, tribal governments, communities, the general public and other interested/affected parties to participate early in the RTP development process.

D. Coordination/Consultation

1. Each RTPA should coordinate its regional transportation planning activities with all transportation providers, appropriate federal, State, and local agencies, environmental resource agencies, air districts and adjoining RTPAs.
2. The RTP should follow early coordination procedures outlined by the NEPA/404 Memorandum of Understanding with federal agencies to integrate the requirements of NEPA and Section 404 of the Clean Water Act and become partners in the NEPA / 404 process.
3. The RTPA should be certain that the circulation plans of the general plans within their regions are consistent with their RTPs. The RTPs should also be consistent with regional transportation plans in adjacent regions.

E. Performance Measurement

Each RTPA should define a set of “program level” transportation system performance measures, which reflect the goals and objectives adopted in the RTP.

F. Executive Summary

1. A concise executive summary should be prepared as an introductory chapter to identify the most significant aspects of the RTP.
2. The Executive Summary should clearly and concisely describe the needs, alternatives, and selected actions of the plan and its overall transportation goals.
3. The Executive Summary should include summary descriptions listed in the guidelines.

G. Policy Element

1. The Policy Element should clearly convey the transportation policies of the region.
2. The Policy Element discussion should: (1) relay how these policies were developed, (2) identify any significant changes in the policies from the previous plans, and (3) provide the reasons for any changes in policies from previous plans.

G. Policy Element (continued)

3. The Policy Element should clearly convey the transportation policies of the region.
4. The Policy Element discussion should: (1) relay how these policies were developed, (2) identify any significant changes in the policies from the previous plans, and (3) provide the reasons for any changes in policies from previous plans.
5. Issues that should be considered in the Policy Element are listed in Appendix D, page D-5.
6. Each Policy Element objective should be linked to the needs identified in the RTP as a means of strengthening the linkage between statewide system planning and ultimate project implementation.

H. Action Element - Analysis

The Action Element should also identify the investment strategies, alternatives, and project priorities beyond what is already programmed. Aside from the accent on specific transportation modes, the Action Element should include a detailed discussion of transportation determinants. Determinants may include physical capacity constraints, transportation and land use coordination, information technology, etc.

I. Action Element – Assumptions

1. The assumptions should be clearly and concisely presented.
2. Areas that should be addressed in the Assumptions are listed in Appendix D, page D-6.

J. Action Element – Analysis, Needs and Scenarios

1. RTPAs should work cooperatively with adjacent jurisdictions where air or water quality has potential impact on the transportation system.
2. The issues that should be examined for each modal strategy are listed in Appendix D, page D-13.
3. The RTP should discuss how the transportation planning needs were determined.

K. Action Element – Analysis, Forecasting

1. Forecasting should address population (including migration and immigration), households, employment, income, land use changes and growth, and traffic forecasts.
2. Projections should be based upon available data (such as from the Bureau of the Census), use acceptable forecasting methodologies, and be consistent with the Department of Finance baseline projections for the region.
3. The RTP should identify and discuss any differences between the RTPA projections and those of the Department of Finance.

L. Action Element – Analysis, Alternatives

1. The location of sensitive environmental resources should be factored into the planning analysis.
2. From the identified alternatives, a “ranking” process, using specific criteria that includes environmental protection and stewardship issues should be used to ascertain the preferred alternative.
3. An extensive list of criteria presented in Appendix D, page D-7 should be considered to evaluate the options of alternative packages of transportation improvements.
4. RTPs should not include projects that have significant adverse safety impacts for bicyclists or pedestrians, or that sever major routes for nonmotorized transportation without providing reasonable alternate routes.

M. Action Element – Planning Analysis

1. The type of analysis used should be clearly discussed in the RTP.
2. The specific planning analysis should rely on a logical evaluation process using performance objectives versus forecasted performance to identify transportation needs and deficiencies.
3. The analysis should evaluate the specific improvements or strategies on a corridor, sub-regional or regional basis in order to be consistent with the plan goals and policies and accomplish the RTP objectives. (Environmental issues need to be addressed mainly at the regional level, since they are primarily regional or larger in scope: air pollution, water pollution, solid and hazardous waste generation, resource consumption, ozone depletion, climate change emissions, loss of habitat, loss of open space, visibility, noise, etc. This is the level at which alternatives can be developed which maximize environmental protection and enhancement while also minimizing transportation problems).
4. The alternative strategies, modes and combinations of modes should be evaluated as a coherent system. All transportation modes should be addressed in the planning analysis. Appendix D, page D-8 provides a list of areas that the RTP planning analysis should consider.
5. The planning analysis should have enough detail to document each transportation project’s purpose and need.

N. Action Element - Conclusion

1. The Action Element should: (1) establish an integrated set of actions utilizing transportation demand management strategies and system management strategies, (2) include multi-modal enhancements intended to maintain and improve the system, (3) increase operational efficiency and productivity, and (4) achieve a coordinated and balanced regional transportation system.
2. Projects should be listed with sufficient information to enable geographic display, such as specifying route number or county road name, and beginning/ending post mile, or main facility address (street) and cross-street.

O. Linkages

1. The identified actions should be defined with enough specificity of purpose, need, design concept and scope to aid in the development of programs.
2. The RTP should also identify and incorporate other State and local transportation plans and programs as appropriate.
3. All major transportation projects and minor projects should be understood to be part of the statewide transportation system.
4. The interrelationships and regional linkages should be acknowledged as appropriate.

P. Action Element Overview

Within the introductory paragraphs of the Action Element, an overview should summarize the most significant aspects of the Element.

Q. Transportation Strategies

1. Each RTPA should include a discussion regarding implementation strategies as appropriate for the region.
2. Each project should be clearly and concisely represented and include the specific issues identified under “Transportation Strategies”.
3. The Action Element should include a summary listed in the Action Element Overview.
4. To facilitate the process of project development, the specific need for the project should be identified.
5. The project purpose and need should be clearly related to the regional goals and policies and explain how the proposed improvements should address identified deficiencies (the “purpose” of the improvements).

Q. Transportation Strategies (continued)

6. The purpose and need of the project should be at a level of detail commensurate with the regional perspective as addressed in the RTP.
7. An identified specific need should be the foundation of the subsequent, detailed statement of project "Purpose" and "Need" in the environmental document for the particular transportation solution.

R. Maps

1. The Action Element should effectively communicate the components and time periods of the transportation system development.
2. The combination of both narrative and graphic displays such as maps and charts should be utilized to maximize understanding of the process and results of the RTP.
3. The Action Element should include: (1) maps showing short-range and long-range projects, (2) short-range and long-range level of service for transit and roads, (3) locations of interchanges on existing or planned freeways, and (4) environmental resources.
4. In producing the graphic representations, the Action Element should consider: (1) the use of metric and standard measurement units, (2) standardization of format to facilitate the sharing of information, and (3) development with Internet transmission and Website posting capabilities.

S. Funding Sources

The RTPA should establish communication with funding agencies early in the planning process to assure both the availability of funds and compliance with the requirements to submit applications and secure the funds.

T. Environmental Considerations

1. The RTPAs should seek to develop and implement the RTP alternatives that will minimize environmental damage.
2. For areas designated nonattainment for federal or state air quality standards, and areas with adopted "maintenance" plans, the RTP should include reference to air quality documentation.
3. Areas subject to conformity requirements should consult the "Documentation in the Conformity Analysis," a checklist prepared by FHWA / FTA.

U. Supporting Data

Each RTPA should include supplemental information either in the RTP, or in a separate document.